

In order to meet your investment needs and to enhance the quality and effectiveness of our products and services, we have integrated the use of a survey into our practice. This brief survey allows us to gain insight into the strengths of our practice, as well as to pinpoint areas for improvement. Our goal is to continue to offer you the best possible product selection and the highest levels of customer service. As our valued client, we sincerely appreciate you taking a few minutes to complete this survey.

## Staff

### 1. How would you rate the quality of service of our staff?

Courtesy	Excellent	Good	Adequate	Poor	NA
Knowledge	Excellent	Good	Adequate	Poor	NA
Phone Etiquette	Excellent	Good	Adequate	Poor	NA
Promptness in dealing with any issues or concerns	Excellent	Good	Adequate	Poor	NA
Ability to handle questions or requests	Excellent	Good	Adequate	Poor	NA

## Financial Goals

### 2. How would you rate our effectiveness in understanding your financial goals?

Taking the time to understand your financial goals	Excellent	Good	Adequate	Poor	NA
Evaluating your risk tolerance, investment time horizon and other investment concerns	Excellent	Good	Adequate	Poor	NA
Working with you to set appropriate financial goals	Excellent	Good	Adequate	Poor	NA
Providing you with products and services that meet your needs and can help you achieve your goals	Excellent	Good	Adequate	Poor	NA

## Communications

### 3. How do you rate our ability to communicate with you?

Keeping you informed on the progress of your investment portfolio	Excellent	Good	Adequate	Poor	NA
Providing you with education that can help you invest better	Excellent	Good	Adequate	Poor	NA
Communicating complex investment ideas and other financial information in a clear and effective manner	Excellent	Good	Adequate	Poor	NA
Keeping you up to date on how market conditions and trends affect your investment portfolio	Excellent	Good	Adequate	Poor	NA

### 4. How frequently would you like to be contacted by us?

☐ Monthly
 ☐ Quarterly
 ☐ Half-Yearly
 ☐ Yearly

### 5. With what method would you prefer that we communicate with you?

☐ Phone
 ☐ Email
 ☐ Face-to-face
 ☐ WhatsApp
 ☐ SMS
 Others: \_\_\_\_\_

# Investments

6. How would you rate your satisfaction with the investments recommended by our practice?

Understanding of the investments you own	Excellent	Good	Adequate	Poor	NA
Level of risk associated with your investments	Excellent	Good	Adequate	Poor	NA
Effectiveness of the features or benefits offered in your investment	Excellent	Good	Adequate	Poor	NA
Performance of your investments	Excellent	Good	Adequate	Poor	NA

# Overall Satisfaction

7. How would you rate the following aspects of our services?

Ability to meet your financial needs and objectives	Excellent	Good	Adequate	Poor	NA
Our investment products and services	Excellent	Good	Adequate	Poor	NA
Level of our customer service	Excellent	Good	Adequate	Poor	NA
Ability to communicate clearly and effectively	Excellent	Good	Adequate	Poor	NA
Professionalism of our staff members	Excellent	Good	Adequate	Poor	NA

8. What are the most challenging financial concerns you currently face and how well are we addressing them?

9. What are three benefits you've experienced as a result of availing our service?

# Closing Comments

10. Based on our performance, how likely is it that you will refer our services to family and friends?

☐ Certain    ☐ Very likely    ☐ Somewhat likely    ☐ Unlikely    ☐ Will not refer

Reference 1:

Reference 2:

Reference 3:

Reference 4:

Reference 5:

11. We would appreciate any additional suggestions regarding how we could improve our products and services. Thank you again for your time